

DEC 14 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Weiershausen et al.

Serial No.: 10/564,461

Filed: January 12, 2006

For: PROCESSES AND DEVICES FOR THE DETERMINATION OF A PMD-
INDUCED OUTAGE PROBABILITY OF AN OPTICAL TRANSMISSION
SYSTEM

Art Unit: 2613

Examiner: Not Yet Assigned

Confirmation No.: 8972

Customer No.: 27623

Attorney Docket No.: 2133.096USU

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

The applicant is requesting that correction be made to the filing receipt. Please note that inventors **Yutaka Miyamoto, Akira Hirano and Yoshiaki Kisaka** should be added as Applicants as stated in the Declaration filed on September 7, 2006.

A copy of the original marked-up filing receipt and a copy of the Declaration are enclosed.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,


Charles N. J. Ruggiero

Reg. No. 28,468

Ohlandt, Greeley, Ruggiero & Perle, L.L.P.

One Landmark Square, 10th Floor

Stamford, Connecticut 06901-2682

(203) 327-4500

Date: December 14, 2006

CERTIFICATE OF TRANSMISSION

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING FACSIMILE TRANSMITTED TO THE FACSIMILE NUMBER 571-273-8300, 11 total pages, c/o MAIL STOP Amendment, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, ON December 14, 2006.

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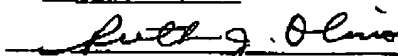
Respectfully submitted,


Charles N. J. Ruggiero
Reg. No. 28,468
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.
One Landmark Square, 10th Floor
Stamford, Connecticut 06901-2682
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Ruth J. OlivoDecember 14, 2006

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPL NO.	FILING OR 371 (a) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/564,461	09/11/2006	2613	1030	2133.096USU	3	17	2

CONFIRMATION NO. 8972

27623

OHLANDT, GREELEY, RUGGIERO & PERLE, LLP
ONE LANDMARK SQUARE, 10TH FLOOR
STAMFORD, CT 06901

FILING RECEIPT



OC00000021026418

Date Mailed: 11/01/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Werner Weiershausen, Eppertshausen, GERMANY;
Arnold Mattheus, Darmstadt, GERMANY;
Ralph Leppla, Darmstadt, GERMANY;

Assignment For Published Patent Application
Schott AG

Power of Attorney:

Charles Ruggiero-28468
Paul Greeley-31019

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/09848 09/03/2004

Foreign Applications

GERMANY 103 41 257.3 09/04/2003

If Required, Foreign Filing License Granted: 10/28/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/564,461**

Projected Publication Date: 02/08/2007

please add inventors:
Yutaka Miyamoto
Akira Hirano
Yoshiaki Kisaoka
RECEIVED
NOV - 8 2006
OHLANDT, GREELEY,
RUGGIERO & PERLE, LLP

Non-Publication Request: No

Early Publication Request: No

Title

Processes and devices for the determination of a pmd-induced outage probability of an optical transmission system

Preliminary Class

398

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where

the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

RECEIVED
CENTRAL FAX CENTER

DEC 14 2006

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

Docket No. 2133.096USU
Customer No.: 27623

As below named inventors, we hereby declare that:

Our residences, post office addresses and citizenships are as stated below next to our respective names.

We believe we are the original, and first joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**PROCESS AND DEVICES FOR THE DETERMINATION OF A
PMD-INDUCED OUTAGE PROBABILITY OF AN OPTICAL TRANSMISSION SYSTEM**

the specification of which

(check one) ☐ is attached hereto.

XXX was filed on January 12, 2006 as Application Serial No.
10/564,461 and was amended on January 12, 2006 (if applicable).

We hereby state that we have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to us to be material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56.

We hereby claim foreign priority benefits under Title 35, United States Code, §119(a) – (d) or (f), or Section 385(b) of any foreign application(s) for patent or inventor's or plant breeder's rights certificate(s) or Section 365(a) of any PCT International Application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application(s) for patent or inventor's certificate(s) or PCT International application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed</u>
<u>103 41 257.3</u> (Number)	<u>Germany</u> (Country)	<u>4 September 2003</u> (Day/Mon/Year Filed)	<u>X</u> Yes <input type="checkbox"/> No
<u>PCT/EP04/009848</u> (Number)	<u>PCT</u> (Country)	<u>3 September 2004</u> (Day/Mon/Year Filed)	<u>X</u> Yes <input type="checkbox"/> No
<u> </u> (Number)	<u> </u> (Country)	<u> </u> (Day/Mon/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

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We hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.66(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patent, pend., abandon.)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patent, pend., abandon.)

We hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patent, pend., abandon.)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patent, pend., abandon.)

POWER OF ATTORNEY: As named inventors, we hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

NAMES	REGISTRATION NUMBERS
Charles N.J. Ruggiero	28,468
Paul D. Greeley	31,019

SEND CORRESPONDENCE TO:	DIRECT TELEPHONE CALLS TO:
Charles N.J. Ruggiero, Esq. Ohlandt, Greeley, Ruggiero & Perle, L.L.P. One Landmark Square, 10th Floor Stamford, Connecticut 06901-2682	Charles N.J. Ruggiero, Esq. Telephone: (203) 327-4500 Telefax: (203) 327-6401

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF INVENTOR	LAST NAME MIYAMOTO	FIRST NAME YUTAKA	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY TOKYO	STATE OR COUNTRY JAPAN	CITIZENSHIP JAPAN
POST OFFICE ADDRESS	P.O. ADDRESS 9-11, Midori-cho, 3 Chome, Musashino-shi	CITY & STATE TOKYO, JAPAN	ZIP CODE 180-8585

Inventor's signature Yutaka Miyamoto Date August 2, 2006
YUTAKA MIYAMOTO

FULL NAME OF INVENTOR	LAST NAME HIRANO	FIRST NAME AKIRA	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY TOKYO	STATE OR COUNTRY JAPAN	CITIZENSHIP JAPAN
POST OFFICE ADDRESS	P.O. ADDRESS 9-11, Midori-cho, 3 Chome, Musashino-shi	CITY & STATE TOKYO, JAPAN	ZIP CODE 180-8585

Inventor's signature Akira Hirano Date August 2, 2006
AKIRA HIRANO

FULL NAME OF INVENTOR	LAST NAME KISAKA	FIRST NAME YOSHIKI	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY TOKYO	STATE OR COUNTRY JAPAN	CITIZENSHIP JAPAN
POST OFFICE ADDRESS	P.O. ADDRESS 9-11, Midori-cho, 3 Chome, Musashino-shi	CITY & STATE TOKYO, JAPAN	ZIP CODE 180-8585

Inventor's signature Yoshiaki Kisaka Date August 2, 2006
YOSHIKI KISAKA

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(Number)Germany
(Country)4 September 2003
(Day/Mon/Year Filed)☒ Yes ☐ NoPCT/EP04/009848
(Number)PCT
(Country)3 September 2004
(Day/Mon/Year Filed)☒ Yes ☐ No
(Number)
(Country)
(Day/Mon/Year Filed)☐ Yes ☐ No

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Paul D. Greeley	31,019

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FULL NAME OF INVENTOR	LAST NAME WEIERSHAUSEN	FIRST NAME WERNER	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY EPPERTSHAUSEN	STATE OR COUNTRY GERMANY	CITIZENSHIP GERMANY
POST OFFICE ADDRESS	P.O. ADDRESS Nieder-Röder- Straße 48c	CITY & STATE EPPERTSHAUSEN, GERMANY	ZIP CODE 64859

Inventor's signature


WERNER WEIERSHAUSENDate 14/08, 2006

FULL NAME OF INVENTOR	LAST NAME MATTHEUS	FIRST NAME ARNOLD	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY DARMSTADT	STATE OR COUNTRY GERMANY	CITIZENSHIP GERMANY
POST OFFICE ADDRESS	P.O. ADDRESS Schepp Allee 49	CITY & STATE DARMSTADT, GERMANY	ZIP CODE 64295

Inventor's signature


ARNOLD MATTHEUSDate 14/08, 2006

FULL NAME OF INVENTOR	LAST NAME LEPPLA	FIRST NAME RALPH	MIDDLE NAME
RESIDENCE & CITIZENSHIP	CITY DARMSTADT	STATE OR COUNTRY GERMANY	CITIZENSHIP GERMANY
POST OFFICE ADDRESS	P.O. ADDRESS Martinstraße 76	CITY & STATE DARMSTADT, GERMANY	ZIP CODE 64285

Inventor's signature


RALPH LEPLADate 14/08, 2006